

Safety Attribute Inspection (SAI) Data Collection Tool

7.1.4 Director of Operations (OP)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure the certificate holder's manual contains the qualifications, duties, responsibilities, and the authority necessary so that the individual serving as the Director of Operations (or equivalent) may discharge those duties in a manner that ensures the highest degree of safety in the certificate holder's operations.

Objective (FAA oversight):

- To determine if the certificate holder's Director of Operations (or equivalent) position meets all applicable requirements of Title 14 of the Code of Federal Regulations (14 CFR) and FAA policies.
- To determine if the certificate holder's Director of Operations (or equivalent) position incorporates the safety attributes.
- To identify any shortfalls in the certificate holder's Director of Operations (or equivalent) position.

Specific Instructions:

- Intentionally left blank

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 119.39(b)(3)
 - 119.65(a)(2)
 - 119.65(b)
 - 119.65(c)
 - 119.65(d)(1)
 - 119.65(d)(2)
 - 119.65(d)(2)(i)
 - 119.65(d)(2)(ii)
 - 119.65(d)(2)(iii)
 - 119.65(d)(2)(iv)
 - 119.65(d)(2)(v)
 - 119.65(d)(3)
 - 119.65(e)(1)
 - 119.65(e)(2)
 - 119.65(e)(3)
 - 119.67(a)(1)
 - 119.67(a)(2)
 - 119.67(a)(3)(i)
 - 119.67(a)(3)(ii)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(3)

- SRRs:
A.006Management Personnel

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank
- FAA Policy/Guidance:
FAA Order 8400.10, volume 2, chapter 2
FAA Order 8400.10, volume 3, chapter 1
FAA Order 8400.10, volume 3, chapter 8
HBAT 98-27

SAI SECTION 1 - PROCEDURES ATTRIBUTE

Objective: Procedures, instructions, and information contained in the certificate holder's manual are documented methods for accomplishing a process. Policies contained in the certificate holder's manual should establish the certificate holder's compliance posture. Policies may not be stand-alone statements but may be imbedded within procedures, instructions, or information regarding a particular regulatory requirement. The questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder's manual has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated questions regarding who, what, when, where, and how. This section contains policy questions, procedural questions, and instructional or informational questions pertaining to various types of certificate holder requirements such as actions, prohibitions, or resources (i.e., personnel, facilities, equipment, technical data, etc.).

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the certificate holder's manual for policies, duties, responsibilities, and the authority of the director of operations (or equivalent) to ensure that they contain information on who, what, when, where, and how (as appropriate).

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's manual state the qualifications, duties, responsibilities, and authority of the Director of Operations (or equivalent):	
1.1.	<p>Does the certificate holder's manual contain a general policy on staffing the director of operations (or equivalent) position that complies with the SRRs?</p> <p>SRRs: 119.39(b)(3); 119.65(a)(2); 119.65(b); 119.65(c); 121.135(b)(1); A.006Management Personnel</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> Check that the Certificate Holder's manual includes general policy that a person being considered to serve full time in the position or equivalent position of Director of Operations who exercised control over or who has held the same or similar position with a Certificate Holder whose certificate was revoked, or is in the process of being revoked, and that individual materially contributed to the circumstances causing revocation or causing the revocation process, the applicant may not be nominated for key management positions. <p><i>Sources:</i> 119.39(b)(3); 121.135(b)(1)</p> <p><i>Interfaces:</i> 2.1.1(OP); 2.1.2(AW)</p> <ol style="list-style-type: none"> Check that the Certificate Holder's manual includes general policy that requires that the Director of Operations be listed by title on paragraph A006 of the operations specifications. <p><i>Sources:</i> 119.65(c); 121.135(b)(1)</p> <p><i>Interfaces:</i> 2.1.1(AW); 2.1.1(OP)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	<p>Does the certificate holder's manual reference the appropriate Federal Aviation Regulations listed in the Supplemental Information section of this safety attribute inspection (SAI)?</p> <p>SRRs: 121.135(b)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

1.3.	Does the certificate holder's manual state, in its general policy provisions, the duties, responsibilities, and authority of the Director of Operations (or equivalent) position? SRRs: 119.65(e)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Does the certificate holder's manual include instructions and information for personnel to meet the requirements of this element? SRRs: 121.135(a)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	Does the certificate holder state in its manual that the individual who serves as the Director of Operations (or equivalent) must be qualified through training, experience, and expertise? SRRs: 119.65(d)(1); 121.135(b)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	Do the qualifications contained in the certificate holder's manual require the Director of Operations (or equivalent) to:	
1.6.1	Hold an airline transport pilot certificate? SRRs: 119.67(a)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.2	Have supervisory or managerial experience in a position that exercised operational control over any operations conducted with large airplanes under 14 CFR part 121 or part 135? SRRs: 119.67(a)(2) <i>Related Design JTIs:</i> 1. Check the Certificate Holder's instructions and information that to serve as Director of Operations under 119.65(a) a person must have at least 3 years supervisory or managerial experience within the last 6 years in a position that exercised operational control over any operations conducted with large airplanes under part 121 or part 135 of this chapter, or if the Certificate Holder uses only small airplanes in its operations, the experience may be obtained in large or small airplanes. <i>Sources:</i> 119.67(a)(2); 121.135(a)(1) <i>Interfaces:</i> 2.1.1(AW); 2.1.1(OP)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.3	Have pilot-in-command experience? SRRs: 119.67(a)(3)(i); 119.67(a)(3)(ii) <i>Related Design JTIs:</i> 1. Check the Certificate Holder's instructions and information that to serve as Director of Operations under 119.65(a) a person must, in the case of a person becoming a Director of Operations for the first time ever, have at least 3 years experience, within the past 6 years, as pilot in command of a large airplane operated under part 121 or part 135 of this chapter, if the Certificate Holder operates large airplanes. If the Certificate Holder uses only small airplanes in its operation, the experience may be obtained in either large or small airplanes. <i>Sources:</i> 119.67(a)(3)(i); 121.135(a)(1) <i>Interfaces:</i> 2.1.1(AW); 2.1.1(OP) 2. Check the Certificate Holder's instructions and information that to serve as Director of Operations under 119.65(a), a person must, in the case of a person with previous experience as a Director of Operations, have at least 3 years experience as pilot in command of a large airplane operated under part 121 or part 135 of this chapter, if the Certificate Holder operates large airplanes. If the Certificate Holder uses only small airplanes in its operation, the experience may be obtained in	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>either large or small airplanes.</p> <p><i>Sources:</i> 119.67(a)(3)(ii); 121.135(a)(1)</p> <p><i>Interfaces:</i> 2.1.1(AW); 2.1.1(OP)</p>	
1.7.	<p>Does the certificate holder state in its manual that the individual who serves in the Director of Operations (or equivalent) position must, to the extent of his or her responsibilities, have a full understanding of the following materials with respect to the certificate holder's operation:</p> <p>SRRs: 119.65(d)(2)</p>	
1.7.1	<p>Aviation safety standards and safe operating practices?</p> <p>SRRs: 119.65(d)(2)(i)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.2	<p>14 CFR, chapter 1 (Federal Aviation Regulations)?</p> <p>SRRs: 119.65(d)(2)(ii)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.3	<p>The certificate holder's operations specifications?</p> <p>SRRs: 119.65(d)(2)(iii)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.4	<p>All appropriate maintenance and airworthiness requirements of 14 CFR (e.g., parts 1, 21, 23, 25, 43, 45, 47, 65, 91, and 121)?</p> <p>SRRs: 119.65(d)(2)(iv)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.5	<p>The certificate holder's manual required by 14 CFR part 121, section 121.133?</p> <p>SRRs: 119.65(d)(2)(v)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.8.	<p>Does the certificate holder's manual state that the Director of Operations (or equivalent) must discharge his or her duties to meet the applicable legal requirements and to maintain safe operations?</p> <p>SRRs: 119.65(d)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.9.	<p>Does the certificate holder's manual contain the name and business address for the Director of Operations (or equivalent)?</p> <p>SRRs: 119.65(e)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.10.	<p>Does the certificate holder's manual direct the appropriate management personnel to notify the certificate-holding district office within 10 days of any change to or the vacancy of the Director of Operations (or equivalent) position?</p> <p>SRRs: 119.65(e)(3)</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> 1. Check the Certificate Holder's instructions and information regarding how to notify the certificate holding district office within 10 days of a change in personnel or a vacancy in the Director of Operations position. <p><i>Sources:</i> 119.65(e)(3); 121.135(a)(1)</p> <p><i>Interfaces:</i> 2.1.1(AW); 2.1.1(OP)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.11.	<p>Does the certificate holder's manual address the guidance contained in FAA Order 8400.10, volume 2, chapter 2?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.12.	<p>Does the certificate holder's manual address the guidance contained in FAA Order 8400.10, volume 3, chapter 1, section 3?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 1 - PROCEDURES ATTRIBUTE Drop-Down Menu	
1.	No procedures, policy, instructions or information specified.
2.	Procedures or instructions and information do not identify (who, what, when, where, how).
3.	Procedures, policy or instructions and information do not comply with CFR.
4.	Procedures, policy or instructions and information do not comply with FAA policy and guidance.
5.	Procedures, policy or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen's Charts, etc.).
6.	Procedures, policy or instructions and information unclear or incomplete.
7.	Documentation quality (e.g., unreadable or illegible).
8.	Procedures, policy or instructions and information inconsistent across Certificate Holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.).
9.	Procedures, policy or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
11.	Other.

SAI SECTION 2 - CONTROLS ATTRIBUTE

Objective: Controls are checks and restraints designed into a process to ensure a desired result. The questions in this section of the DCT are designed to assist the inspector in determining if checks and restraints are designed into the process to ensure the desired result is achieved. Controls should be written into the manual system to ensure that the most important manual policies, procedures, or instructions and information will be followed.

Controls may be in the form of administrative controls, which are secondary or supplemental written procedures. Like written procedures, administrative controls also need to provide answers to questions regarding who, what, when, where, and how. Controls may also be in the form of engineered controls, such as automated features or mechanical actions or devices (i.e., safety devices, warning devices, etc.).

Tasks

To meet this objective, the inspector must accomplish the following tasks:

1. Review the control questions below.
2. Review the certificate holder's policies, duties, responsibilities, and the authority of the Director of Operations (or equivalent) position.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Are the following controls established for the Director of Operations (or equivalent):	
1.1.	Is there a control in place to ensure that the Director of Operations (or equivalent) position is occupied?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Is there a control in place to ensure that the Director of Operations (or equivalent) meets the qualifications as stated in 14 CFR part 119, sections 119.65 and 119.67, and those contained in the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Is there a control in place to ensure the Director of Operations (or equivalent) performs the duties of the position full time?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Does the certificate holder have a documented method for assessing the impact of any changes made to the controls for the Director of Operations (or equivalent) position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 2 - CONTROLS ATTRIBUTE Drop-Down Menu	
1.	No controls specified.
2.	Documentation for the controls do not identify (who, what, when, where, how).
3.	Controls incomplete.
4.	Controls could be circumvented.
5.	Controls could be unenforceable.
6.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE

Objective: Process measurements are used by the certificate holder to measure and assess its processes, to identify and correct problems or potential problems, and to make improvements to the processes. The questions in this section of the DCT are designed to assist the inspector in determining if the certificate holder measures or assesses information to identify, analyze, and document potential problems with the process. Process measurements are a certificate holder's internal evaluation or auditing of the most important policies, procedures, or instructions and information associated with an element.

To prevent the duplication of work, process measurements are most commonly addressed through a combination of auditing features contained in both the certificate holder's safety program/internal evaluation program (for operations and cabin safety-related issues) and the auditing function of the Continuous Analysis and Surveillance System (for airworthiness or maintenance/inspection-related issues). The director of safety and the quality assurance department often work together to accomplish this function for the certificate holder. This approach requires amendment of the safety program/internal evaluation program audit forms or checklists and the Continuous Analysis and Surveillance System audit forms or checklists to include the specific process measurements for each element.

Tasks

	To meet this objective, the inspector must answer the following questions:
1.	Review the process measurement questions below.
2.	Review the certificate holder's policies, duties, responsibilities, and the authority of the Director of Operations (or equivalent) position.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's manual include the following process measurements for the Director of Operations (or equivalent):	
1.1.	Process measurements that would reveal when the certificate holder does not fill the Director of Operations (or equivalent) position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Process measurements that would reveal when the certificate holder assigned an individual as the Director of Operations (or equivalent) who did not meet the qualifications as stated in 14 CFR part 119, sections 119.65 and 119.67, and the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Process measurements that would reveal when the certificate holder failed to ensure that the Director of Operations (or equivalent) satisfactorily fulfilled the duties of the position full time?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE Drop-Down Menu	
1.	No process measurements specified.
2.	Documentation for the process measurements does not identify (who, what, when, where, how).
3.	Inability to identify negative findings.
4.	No provisions for implementing corrective actions.
5.	Ineffective follow-up to determine effectiveness of corrective actions.
6.	Resources requirements (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 4 - INTERFACES ATTRIBUTE

Objective: Interfaces are used by the certificate holder to identify and manage the interactions between processes. The questions in this section of the DCT are designed to assist the inspector in determining whether or not interactions between the policies, procedures, or instructions and information associated with other independent processes within the certificate holder's organization are documented. Written policies, procedures, or instructions and information that are interrelated and located in different manuals within the certificate holder's manual system must be consistent and complement each other. For the interfaces to be effectively managed, it is not only important to identify what the interfaces are, but it is imperative to document the specific location of the interfaces within the certificate holder's manual system.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the interfaces associated with the Director of Operations (or equivalent) that have been identified along with the individual questions in section 1, Procedures, of this DCT.
2.	Review the certificate holder's policies, duties, responsibilities, and the authority of the Director of Operations (or equivalent) position.

Questions

	To meet this objective, the inspector must answer the following questions: NOTE: The design job task items (JTIs) displayed with the questions in section 1, Procedures, of this DCT identify potential interfaces (by element number) for this element.	
1.	Does the certificate holder's manual properly address the interfaces that are identified along with the individual questions in section 1, Procedures, of this DCT?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Does the certificate holder's manual document a method for assessing the impact of any changes to the associated interfaces within the Director of Operations (or equivalent) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 4 - INTERFACES ATTRIBUTE Drop-Down Menu	
1.	No interfaces specified.
2.	The following interfaces not identified within the Certificate Holder's manual system:
3.	Interfaces listed are inaccurate.
4.	Specific location of interfaces not identified within the manual system.
5.	Other

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTES

Objective: The questions in this section of the DCT address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the appropriate organizational chart.
2.	Record the name and title of the individual serving as the Director of Operations (or equivalent).
3.	Review the duties and responsibilities for the Director of Operations (or equivalent).

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identifiable person listed in the certificate holder's manual performing the duties and responsibilities of the Director of Operations (or equivalent) position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identifiable person listed in the certificate holder's manual who has the authority of the Director of Operations (or equivalent) position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Are the certificate holder's procedures for delegation of authority for the Director of Operations (or equivalent) clearly and completely documented?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTES Drop-Down Menu	
1.	Not documented.
2.	Documentation unclear.
3.	Documentation incomplete.
4.	Other.